

APPENDIX A - RISK MANAGEMENT MONITORING REPORT

May 2022



1.0 Introduction

- 1.1 The position with regard to the strategic risk register are presented within this report.
- 1.2 The next formal review of the strategic risk and opportunity register will take place in August 2022, the operational risk register will also be reviewed at this time. Risk registers are however a live document and will be regularly discussed at Directorate Management Teams.

2.0 Strategic Risk Register – Monitoring Summary

- 2.1 Attached to this report at Appendix B is the updated strategic risk register. The register offers additional information including detail on Key Controls and Sources of Assurance and how progress against mitigation will be measured.

3.0 Strategic Risk Register

- 3.1 There have been two new risks added to the strategic risk register bringing the total risks managed to 22. The first new risk relates to IT supply chain constraints which results in increased costs and extended lead times for equipment (number 4 in table one). This red risk has been scored as 'Almost certain' to happen and a 'Major risk' to the operation of the council.

The second new risk relates to Adult Social Care reforms (number 2 in table two). There are a number of reforms that will create financial uncertainty in terms of being able to accurately understand the impact on costs and resources. This amber risk has been scored as 'Likely' to happen and a 'Major risk' to the operation of the council.

Risk number 1 which relates to the medium term financial plan has had its risk score increased to 25. This means it has been escalated from an amber risk to a red risk and additional mitigation out in place.

In total there are five red risks, in addition to the red risks mentioned above regarding IT supply and finance there are three existing red risks. These are shown below;

Risk number two in table one relates to possible failure to meet statutory duties due to growing volume and complexity of demand for children's social care services.





Risk number three in table one relates to the potential for a cyber-attack to render all of the Council's IT inaccessible for an extended period of time therefore impacting on the Council's ability to deliver services.

Risk number one in table two relates to workforce concerns and the growing fragility of the Adult Social Care Market that might lead to the inability of the Local Authority to meet statutory duties and meet eligible need.





3.2 Strategic Risk update table one

Table one provides an update on strategic risks with mitigation that is fully influenced by Plymouth City Council, this is 13 of the 22 risks on the strategic risk register.

Table one – Strategic Risks fully mitigated by Plymouth City Council

Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
1	The Council's expenditure exceeds the resources available to meet that expenditure within the medium term financial plan period (2022/23-2025/26)	<p>The Council has also taken the following steps;</p> <p>(1) to adopt a 5 year MTFP moving forward rather than a 1 year or 3 year model</p> <p>(2) to adopt a system of monthly financial reporting to Directorate Management Teams, Corporate Management Team, and Cabinet and Quarterly to Full Council, with monthly consideration of directorate level financial issues at each Scrutiny Committee</p> <p>In addition the Council has introduced a system of detailed monitoring of the delivery of savings targets so that a view is published monthly in Cabinet reports. The Council also holds an annual review of fees and charges and has annual and ongoing programmes of work to identify and understand potential savings opportunities. The governance system of the Council - as unpacked in the Annual Governance Statement comprise a rigorous system of financial control. In acknowledgement of budget pressures and the choices that lie ahead on a successive basis to balance future budget shortfalls the Council has launched a Budget Consultation process to inform difficult budget choices moving forward.</p> <p>It is of critical importance to the Council and City that CMT and Cabinet select means of reducing the costs of the Council to fully mitigate the forecast budget shortfalls in future years. Until this work is completed later in 2022 the risks will remain at the current level.</p>	25	Amber 	Red  ↑ Red since May 2022	Brendan Arnold
2	Failure to meet statutory duties due to growing volume and complexity of	<ul style="list-style-type: none"> - Additional social work capacity agreed to support effective delivery of casework - Fostering Project Delivery Plan in place 	20	Red 	Red 	Sharon Muldoon

Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
	<p>demand for children's social care services.</p> <p>Hidden harm consequences of infection control measures and safe systems of work limitations add to existing pressures on service.</p> <p>Risk of continued rising demand for children to come into care since the pandemic in March 2020.</p>	<ul style="list-style-type: none"> - High cost placement review supported by named Service Manager - Adolescent Support Team reunification and edge of care service supporting over 60 young people at any one time - Ongoing rigour in decision making to manage demand via Placement Panel, which takes place weekly and is overseen by a dedicated service manager with responsibility for reducing costs of individual placements and ensuring timely step down - Ensuring action plan milestones are reached via monthly monitoring at Programme Board/Finance Directorate Management Team meetings - All delivery plans have been reviewed and progress is being achieved to mitigate delays caused by COVID-19 response. 			Red since July 2020	
3	<p>A Cyber-attack renders all of the Council's IT inaccessible for an extended period of time therefore impacting on the Council's ability to deliver services.</p>	<ul style="list-style-type: none"> - Review of governance and strategy / action planning process underway - Delt undertaking a programme of Cyber security improvements - The programme is at the initiation stage, however will produce recommendations for improving aspects such as end point detection and defence, improved identity and asset management - It will also improve the annual IT Health Check by looking at repeat issues and introducing process changes to prevent them from reoccurring. 	20	RED ████████	<p style="text-align: center;">RED ████████</p> <p>Red since January 2022</p>	Andy Ralphs

Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
4	<p>IT supply chain constraints results in increased costs and extended lead times for equipment.</p> <p>This will lead to budget pressures for the Council plus Service delivery pressures as new and replacement IT equipment experiences considerable delays.</p>	<ul style="list-style-type: none"> - PCC to pre plan as far ahead as possible on any purchases of technical goods or services, notifying Delt during the planning phase of such work. - Delt engagement with current suppliers and escalation of any changes to current prices / lead times - Assessment of alternative suppliers - Budget monitoring - IT Service Level Management - Monitoring of procurement lead times 	20	N/A	RED New Risk	Andy Ralphs
9	<p>Increased and sustained pressure on Adult Social Care budget due to increased costs of providing care, growing numbers of people and increased complexity of need. As this is a statutory service and largest single budget it could have a significant impact on the Authorities overall financial position.</p>	<ul style="list-style-type: none"> - Real time management information - Strong Reablement Offer - Established Review Programme - Commissioning Intentions and Commissioning Activity to develop new models of care - Budget containment meetings in place - Focus on reviews and reablement to right size packages of care including focused work on 18 to 64's - Emergency Plan to cover need to prioritise critical services 	16	Amber 	Amber 	Craig McArdle
11	<p>The Council having insufficient workforce capacity and resilience to deliver the required range of services to meet statutory obligations and administration priorities.</p>	<ul style="list-style-type: none"> - Develop online training programmes - Implementation of 'The Way We Work' programme (technology, information management, accommodation) to enable the right conditions for success - Review of senior structure - Review of business plans 	15	Amber 	Amber 	Andy Ralphs

Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Possible remodelling of services - Ongoing 1:1 supervision meetings - Working towards Gold Wellbeing at Work Award - Increase in number of Wellbeing Champions to 60 (from 44) - Implement New Ways of working and deliver Accommodation Strategy. 				
12	The Council not meeting its obligation to keep data secure by failing to adhere to Data Protection Act 2018 Regulations.	<ul style="list-style-type: none"> - Continued roll out staff awareness training to all staff - Implement greater reporting consistency within directorates - Implement improved incident analysis within the Service Desk - Improved contract management with partners - Improve Privacy notice templates and ensure all gaps are addressed - Standardised breach management processes distributed to key staff - Reviewed policies to be communicated to all staff. 	15	Amber ██████	Amber ██████	Andy Ralphs
14	The Council not meeting its legal obligations regarding the health, safety and wellbeing of its workforce.	<ul style="list-style-type: none"> - Agree substantive future working arrangements according to worker type - The Big Listen - employee engagement survey in progress. - Delivery of 22/23 HS&W action plan - Focus on mandatory training compliance July 2022 - Introduction of new KPI's for incident management - Audit programme to commence in quarter two. 	15	Amber ██████	Amber ██████	Andy Ralphs
15	The Council is unable to fulfil its legal obligations regarding the safety of its citizens and service recipients.	<ul style="list-style-type: none"> - Statutory post holders - Commissioning and service Improvement plans - Budgetary management - Revision of business plans. 	12	Amber ██████	Amber ██████	Sharon Muldoon/ Craig McArdle

Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
18	Risk of financial impact of delivering proposed changes to Waste Services as set out in the Government's Draft Environment Bill.	<p>The Council have partnered with the Waste Industry body WRAP to jointly commission external support to assess the likely impacts and opportunities of the Environment Act. The funding for this work has been wholly met by DEFRA. The initial report was completed with broadly inconclusive findings. The scope of ongoing work is as follows:</p> <ul style="list-style-type: none"> - To understand the implications of, and ensure the Council meets, the government's requirements as proposed in the Resources & Waste Strategy - To help inform the future design of the Council's household waste collection service and understand the implications in terms of reprocessing infrastructure - To understand the likely impact that changes to the current household waste collection service will have on the Council's recycling performance - To consider where operational efficiencies can be achieved whilst still delivering a service that meets the needs of its residents and allows the Council to maintain high levels of customer satisfaction - To appraise whether existing waste management infrastructure and assets in Plymouth, and the surrounding area, are likely to be sufficient for future requirements; and if they are deemed not to be then to provide options to inform the Council's waste strategy and spatial planning. 	12	Amber ██████	Amber ██████	Anthony Payne
19	Staff resilience to causative factors of stress variable resulting in the primary reason for short and long term absences being due to	<ul style="list-style-type: none"> - Individual stress and resilience risk assessments part of business as usual. Wellbeing and resilience training available as part of scheduled programme of HSW training. ERS advice and support in individual cases where other HR processes have been applied. 39 	12	Amber ██████	Amber ██████	Andy Ralphs



Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
	stress / psychological factors; reduced morale, loss of productivity with impact on delivery.	Wellbeing Champions across the organisation as 1st line of support to colleagues and driving a program of PH initiatives. Action taken at local level to secure resources to meet rising demands				
21	Risk to vulnerable children and young people in the care system, by not delivering early intervention and prevention.	Continue to drive forward change across the partnership in relation to whole family working, engagement with the Early Help Assessment Tool process, data exchange and achieving the outcomes required within the Troubled Families Outcomes Plan.	6	Green ■	Green ■	Sharon Muldoon
22	In 2019/20 the Council adopted under legal advice a proposal to make additional upfront contributions to offset the Council's pension fund deficit. During the audit of the 2019/20 accounts - which was delayed because of the Pandemic - it became apparent that the External Auditor did not agree that the accounting treatment used was lawful. During 2021 the Council has taken further legal advice to identify a lawful way of accounting for the transaction; consideration of this advice continues at the present time. The risk is	<ul style="list-style-type: none"> - Liaison with legal advisers - Consultation with the Auditor - Possible consultation with Government 	TBC – subject to ongoing legal advice			Brendan Arnold

Risk Register No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
	that if a lawful way of accounting for the transaction cannot be agreed with the External Auditor and advising counsel then the Council may need to explore with Government alternative means of achieving a solution which sits within the appropriate legal parameters.					

3.3 Strategic Risk update table two

Table two provides an update on strategic risks with mitigation that is influenced by Plymouth City Council but is also dependent on other outside factors, this is nine of the 22 risks on the strategic risk register.

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
5	Lack of adult social care workforce and growing fragility of Adult Social Care Market leading to inability of Authority to meet statutory duties and meet eligible need.	<ul style="list-style-type: none"> - Establishment of Community Capacity Command Centre to provide greater oversight of market and capacity - Local Authority has set up a Care Company to ensure continuity of provision in the event of market failure - Care Home liaison work being undertaken by Livewell Southwest, to increase levels of support to Residential and Nursing care marker - Risk to be continued to be monitored through contract monitoring and market intelligence 	20	Red	Red Red since Oct 2021	Craig McArdle

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Supporting market wide workforce recruitment / retention across residential and domiciliary sector - Remodelled bed bureau launched to support Care Homes to manage complex discharge cases - Incentive payments to workforce - Managing risk through winter strategy for the domiciliary care market. 				
6	<p>Insufficient economic performance to sustain the City's economy and growth plans.</p> <p>The risk to economic performance is a combination of the ongoing impacts of the coronavirus, Brexit, labour shortages, infrastructure challenges relating to material supply and general uncertainty in many sectors.</p> <p>Some of the long-term effects (especially without effective policy instruments) are likely to carry over in 2022 and beyond.</p>	<p>We are focussing, through Resurgam, on six areas to help our economy to recover, to protect local jobs and to support our communities. These are:</p> <ul style="list-style-type: none"> - Spend 4 Plymouth – A massive focus on local procurement for local jobs - Build 4 Plymouth – An ambitious capital programme and economic stimulus to support construction jobs, building a better and greener Plymouth - Skills 4 Plymouth – Extensive new support for young people and retraining our workforce for future jobs through our skills launch pad - City Centre Renaissance programme – support for our city centre and a regeneration plan - Resurgam Beacons – A focus on our future. We will seek to create new jobs in the blue and green economy. That is our amazing marine sector and a new green deal for jobs - Sector Action Plans – a bespoke package of interventions led by the private sector for our 11 key sectors, building on our Resurgam plans and innovating and collaborating together through our newly established Sector Hub. <p>Supporting our sectors whether they are in critical shock, stable, or capable of high growth. These sectors are:</p> <ul style="list-style-type: none"> - Construction and the Built Environment 	16	Amber 	Amber 	Anthony Payne

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Creative Industries - Digital - Defence - Health and Care - Fishing - Manufacturing - Marine - Retail - Tourism and Hospitality - Transport and Distribution. <p>We have also established the cross cutting theme of inclusive growth. Our aim is to 'build back better', growing a prosperous economy that reduces inequality, is sustainable and truly serves the wellbeing of all of the people of Plymouth.</p>				
7	Ongoing COVID-19 rates (with potential for further peaks) affect city's recovery / reset plans.	<ul style="list-style-type: none"> - The key mitigation of vaccination has now reached around 85% (one or more doses) of those eligible. There have been reductions in the mitigations (reduced testing, support payments and legal need for self-isolation) and this has created uncertainty around case rates and the risk of delayed detection of new variants. The longstanding advice to the general public remains in place and is re-emphasised at regular intervals. 	16	Amber ■	Amber ■	Ruth Harrell
8	Failure to reduce Health Inequalities will mean our poorest residents continue to live shorter lives as well as more years in ill health. Mounting evidence that COVID-19 is having differential	Persistent action across the Council is required at many levels to tackle inequalities by addressing the wider detriments of health. The Public Health Team and partners continue to work with employers (year one focus) and schools (year two focus) to influence healthier lifestyles. The team continues to embed and promote the national One You campaign across the city. The 'five ways to wellbeing' has been adopted across the City as the single	16	Amber ■	Amber ■	Ruth Harrell

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
	<p>health impacts across communities, adding to existing health inequalities. This is through either the disease itself or the mitigations put in place. There is an ongoing impact of this due to the economic downturn. The primary role of the ODPH and the Public Health Team in particular is now to try to manage COVID-19 in the city, therefore protecting most deprived communities from further negative impacts.</p>	<p>approach to improving mental wellbeing. The work that started in year five on 'people connecting through food' is ongoing with a number of new initiatives developed. The intention was that the year six focus would be arts, culture, heritage and health (using the Mayflower 400 commemorations as the vehicle for delivery). However, this year was curtailed as a result of the pandemic and a two year pause was put on the programme. Subsequently, Thrive Plymouth Year seven was launched in May 2022 with a focus on Listening and Reconnecting. There is a need to reflect on our experiences and acknowledge what we have been through. Though there has been much trauma, we believe that there have also been some positives which we want to help the city to build on and apply to the wider challenges of inequality. Evidence has been provided to the Health and Wellbeing Board on the risk of widening health inequalities which partners are working together to try to mitigate. The Local Care Partnership priorities are being refreshed and includes tackling inequalities. Both of these routes bring partners together to understand the issues and the steps needed to tackle health inequalities in the City. In addition to this, to support the work of the Council's cross-party Child Poverty Action Plan Working Group, a high level review of the evidence of the impacts of the pandemic on the mental wellbeing of children and young people has been carried out. As already stated, the primary role of the ODPH and the Public Health Team in particular is now to minimise the impact of COVID-19 in the city therefore protecting most deprived communities from further negative impacts.</p>				
10	<p>Adult Social Care (ASC) Reforms - There are a number of reforms to ASC that will create financial uncertainty in terms of being able to accurately understand the cost</p>	<p>Utilising National and regional groups including Local Government Association and Association of Directors Adult Social Services (ADASS)</p> <p>ASC reform programmes established</p> <p>Fair cost of care exercise to better understand position</p>	16	N/A	Amber New risk	Craig McArdle

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
	<p>and resources impact once reforms have been implemented. It is not clear whether any additional monies will be made available for local authorities and there is currently no reliable way of forecasting impact.</p> <p>Examples of reforms include;</p> <p>Fair cost of care</p> <p>Charging reforms</p> <p>Local Protection Safeguards</p> <p>Care Quality Commission Assurance programme</p>	<p>Departmental and directorate management teams</p> <p>Potential use of Offers and Asks due to cost of new burdens on the service.</p>				
13	<p>Despite the green shoots of improvement in education outcomes in 2021/22, the school improvement partnership needs to be made sustainable supported by continuous resources for next stage of work to stabilise the system and to continue improve after Place-based funding ceased in March 2022.</p>	<ul style="list-style-type: none"> - Plymouth Education Board (PEB) (and sub groups) is being reviewed to strengthen education partnership. - Strengthen School Causing Concern procedure. - School improvement work will create a partnership of distinct interventions to drive improvement and raise achievement. - Cause for concern meetings. Inclusion Strategy Board as an added strand of PEB work. - Proposed Inclusion Mark for the City to celebrate inclusion. <p>The Plymouth Standards Partnership Recovery & Improvement Plan: A key priority is work to support disadvantaged pupils. The work of the Plymouth Commission has been extended to focus on attainment for secondary aged pupils and school improvement. This has also focussed on the impact of the COVID-19 response arrangements, and a survey of all secondary schools has been</p>	15	<p>Amber</p> <p>■</p>	<p>Amber</p> <p>■</p>	Sharon Muldoon

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
		undertaken to inform priorities for re-engaging pupils in September. Schools are expected to have the capacity to offer immediate remote education for classes or groups who are required to self-isolate for a short period of time, or where there are local restrictions requiring pupils to remain at home. Schools are being offered a catch up premium of £80 per pupils for most schools, to assist with programmes of learning to support pupils who require additional support. At this time, it is intended that subject to some adjustments to content and activity, in the summer 2021 for GCSE, AS and A level are all teacher assessed.				
16	Departure from EU single market with The Trade and Cooperation Agreement could further decrease city economic output.	<ul style="list-style-type: none"> - Continued regional engagement to maintain strong influence - Monitor proposed regulatory changes for service impact - Continue to act promptly on government guidelines when issued. 	12	Amber ██████	Amber ██████	Giles Perritt
17	Risk of failing to meet carbon reduction targets to reach net zero by 2030.	<ul style="list-style-type: none"> - Process of annual Climate Emergency Action Plan and Corporate Carbon Reduction Plan action plans in place, with six monthly performance updates to scrutiny committee - Climate Emergency Board meets four times / year to keep programme under review - Review of governance and strategy / action planning process underway. 	12	Amber ██████	Amber ██████	Anthony Payne
20	Risk of failing to deliver the range of housing to meet Plymouth's need.	<p>The results of the annual Plymouth Housing Survey of all new home completions for 2022/23 are due to be available by end of June 2022, and we are due to publish the Housing Position Statement / 5 Year Land Supply by November 2022 at the earliest.</p> <p>Overall completions will see a significant reduction due to the many issues associated with the pandemic including supply chain issues, cost price and build cost inflation, impacts on contractor capacity,</p>	9	Green ██████	Green ██████	Anthony Payne

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
		<p>particularly Small and Medium Enterprise (SME) house builders, and general housing market uncertainty. 2. We continue our engagement with Homes England (HE) and Department for Levelling Up, Homes and Communities (DLUHC) to identify priority sites for intervention, including potential funding, to help unlock and accelerate housing delivery on a number of key strategic city centre sites.</p> <p>Strategic Land Review completed and released 50 housing sites to the market.</p> <ul style="list-style-type: none"> - Established Housing Investment Fund in Plan for Homes 3 to support interventions to unlock housing delivery. - Working with Homes England to develop a Placed Based Strategic Partnership to unlock and deliver a pipeline of housing sites, support City Centre renaissance and to help align Government funding with housing site opportunities. Proposal to establish a tripartite partnership between DLUHC, HE and Plymouth City Council/South Hams & West Devon with the vision to transform the pace and quality of housing provision to fully meet housing need. Work with HE has led to agreed solutions and Deeds of Variation on 4 legacy sites to unlock delivery. Launched the Plymouth Eco-Homes Programme to support building a pipeline deliver over 250 low-carbon and net-zero homes across Plymouth. - Embarking on our Direct Delivery of new homes to drive up good design, quality and sustainable living. Identifying a pipeline of future sites to support our direct delivery ambitions. - Developed 2 Housing Partnership Agreements with key Housing Association Partners to maximise their investment and delivery in the city. 				

No.	Description	Mitigation	Risk Score	Previous risk rating	Current risk rating	Risk Owner
		<ul style="list-style-type: none"> - Considering site acquisitions and provided funding to help unlock stalled Joint Local Plan (JLP) sites. Reviews of JLP sites completed and monitored, with delivery strategies being implemented. Site allocations tracker used to monitor delivery and progress throughout the year, working with officers to explore necessary actions to bring sites forward and establish trusted partnership. Facilitate Purchase Price Allocation (PPA) with developers to encourage delivery and facilitate proactive working arrangements. - Bidding to a number of Government funding programmes to support new homes. - Ongoing work with HE and DLUHC to support the delivery to unlock funding and making the case for a fairer allocation of national funding for homes. - Ongoing innovation to improve the proactive and fast track approach to planning to deliver housing. - Monitoring development activity in the construction sector to understand the effect of COVID-19 on housebuilding. - We will manage the 5 year land supply position to ensure that decisions on sites are taken using a balanced and objective assessment of market conditions. - Work with Resurgam programme to develop measures to support and boost housebuilding, supporting Plymouth's economic recovery and other Resurgam activity. - Work with the Plymouth Housing Development Partnership to leverage their investment and progress housing projects to stimulate affordable housing delivery, and support SME's to start building again. - We will work with MHCLG and HE to maximise investment in new homes and infrastructure. 				

